

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

16523 U.S. PTO  
07/23/03

Docket No.  
POU919990041US2

Total Pages in this Submission  
4

## TO THE COMMISSIONER FOR PATENTS

Mail Stop Patent Application  
P.O. Box 1450  
Alexandria, VA 22313-1450

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

### ACCESSING LOCAL OBJECTS USING LOCAL ACCESS PROXIES

and invented by:

Jeffrey A. FREY; Carroll E. FULKERSON, Jr; Rodney A. LITTLE; Gary S. PUCHKOFF; and Christopher P. VIGNOLA

ASSIGNEE NAME: International Business Machines Corporation

ASSIGNEE ADDRESS: Armonk, New York

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If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

Continuation    Divisional    Continuation-in-part (CIP)   of prior application No.: 09/332,818

Which is a:

Continuation    Divisional    Continuation-in-part (CIP)   of prior application No.: \_\_\_\_\_

Which is a:

Continuation    Divisional    Continuation-in-part (CIP)   of prior application No.: \_\_\_\_\_

Enclosed are:

### Application Elements

1.  Filing fee as calculated and transmitted as described below
  
2.  Specification having 129 pages and including the following:
  - a.  Descriptive Title of the Invention
  - b.  Cross References to Related Applications (*if applicable*)
  - c.  Statement Regarding Federally-sponsored Research/Development (*if applicable*)
  - d.  Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix
  - e.  Background of the Invention
  - f.  Brief Summary of the Invention
  - g.  Brief Description of the Drawings (*if filed*)
  - h.  Detailed Description
  - i.  Claim(s) as Classified Below
  - j.  Abstract of the Disclosure

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## Application Elements (Continued)

3.  Drawing(s) (when necessary as prescribed by 35 USC 113)  
  - a.  Formal Number of Sheets 29
  - b.  Informal Number of Sheets \_\_\_\_\_
4.  Oath or Declaration  
  - a.  Newly executed (*original or copy*)  Unexecuted
  - b.  Copy from a prior application (37 CFR 1.63(d)) (*for continuation/divisional application only*)
  - c.  With Power of Attorney  Without Power of Attorney
  - d.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference (*usable if Box 4b is checked*)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.  CD ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7.  Application Data Sheet (See 37 CFR 1.76)
8.  Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all must be included*)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  Paper
  - c.  Statement(s) Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

9.  Assignment Papers (*cover sheet & document(s)*)
10.  37 CFR 3.73(B) Statement (*when there is an assignee*)
11.  English Translation Document (*if applicable*)
12.  Information Disclosure Statement/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
15.  Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
16.  Certificate of Mailing  
 First Class  Express Mail (*Specify Label No.*): EV 270471832 US

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**Accompanying Application Parts (Continued)**

17.  Additional Enclosures (please identify below):

(1) Copy of Recordation Form Cover Sheet and Assignment from parent (3 pages); and  
(2) Associate Power of Attorney (1 page).

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18.  Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

*An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.*

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**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	50	- 20 =	30	x \$18.00	\$540.00
Indep. Claims	4	- 3 =	1	x \$84.00	\$84.00
Multiple Dependent Claims (check if applicable)					\$0.00
				BASIC FEE	\$750.00
OTHER FEE (specify purpose)					\$0.00
				TOTAL FILING FEE	\$1,374.00

- A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- The Director is hereby authorized to charge and credit Deposit Account No. 09-0463 (IBM) as described below.
- Charge the amount of \$1,374.00 as filing fee.
  - Credit any overpayment.
  - Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
  - Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Signature

Wayne F. Reink, Esq.  
Registration No. 36,650  
Customer No. 23405

Dated: July 23, 2003

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

Applicants: Frey et al.

Title: ACCESSING LOCAL OBJECTS USING LOCAL ACCESS PROXIES

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"****"EXPRESS MAIL" MAILING LABEL NO. EV 270471832 US**Date of Deposit: July 23, 2003

I hereby certify that this paper is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to: Box PATENT APPLICATION, Commissioner for Patents, Washington, D.C. 20231.

Rosalind Q. Spiller  
(Typed or printed name of person mailing paper or fee)

Rosalind Q. Spiller  
(Signature of person mailing paper or fee)

Enclosures:

1. Application Data Sheet (3 pages);
2. Utility Patent Application Transmittal (Large Entity) (4 pages) (in duplicate);
3. Specification (129 pages);
4. Preliminary Amendment (12 pages);
5. Twenty-nine (29) Sheets of Formal Drawings;
6. Associate Power of Attorney (1 page);
7. Copy of Declaration and Power of Attorney, as filed in parent (4 pages);
8. Recordation Form Cover Sheet and Assignment, as filed in parent (3 pages);
9. Information Disclosure Citation (2 pages);
10. Thirteen (13) references; and
11. Two (2) Return Receipt Postcard.